

JAN. 31

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JASON R. JONES

REGISTERED PATENT ATTORNEYS  
\*ADMITTED IN CALIFORNIA ONLY  
CALVIN E. THORPE  
(1939-1999)

January 18, 2002

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JUL 01 2002

Technology Center 2600

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

Box PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. §§ 1.56 and 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- X Form PTO-1449 list of 107 references submitted for consideration.
- X Legible copies of the listed references or their relevant portions.
- X All English translations of each non-English reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.



Commissioner of Patents  
and Trademarks  
Page 2

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- \_\_\_ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- \_\_\_ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- \_\_\_ Statement under 37 C.F.R. § 1.97(e)(1) or (2).
- \_\_\_ Check No. \_\_\_ in the amount of \$ (amount in § 1.17(p)) constituting the submission fee set forth in 37 C.F.R. § 1.17(p).

In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Statement meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 20-0100 of the undersigned.

Respectfully submitted,

Steve M. Perry  
Attorney for Applicant  
Registration No. 45,357

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U.S. PATENT APPLICATION NO. 09/787,972  
DOCKET NO. T7029.CIP.PCT.US

Technology Center 2600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Selfridge, et al  
SERIAL NO.: 09/787,972  
FILED: March 23, 2001  
FOR: PARAMETRIC LOUD-  
SPEAKER WITH ELECTRO-  
ACOUSTICAL DIAPHRAGM  
TRANSDUCER  
EXAMINER: Anthony Smith  
DOCKET NO.: T7029.CIP.PCT.US

CERTIFICATE OF DEPOSIT  
UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, under 37 C.F.R. § 1.8 on the date indicated below and is addressed to Box PCT, Assistant Commissioner of Patents, Washington, D.C. 20231.

*Steve M. Perry*  
Steve M. Perry  
January 18, 2002  
Date of Deposit

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97

Box PCT  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

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11 MAR 2002

Legal Staff  
International Division

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). Applicant respectfully submits that this Information Disclosure Statement is filed pursuant to:

  X   37 C.F.R. § 1.97 (b)(1) or (3), within three months of the filing date of the application, or before a first office action on the merits, whichever occurs last;

       37 C.F.R. § 1.97 (c), after a first office action on the merits, but before a Final



Assistant Commissioner of Patents  
Page 2

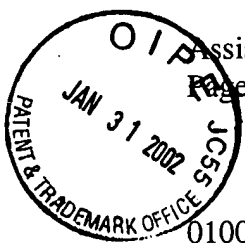
Office Action or a Notice of Allowance, whichever occurs first, and is accompanied by either 1) a statement in accordance with 37 C.F.R. § 1.97(e), or 2) the fee set forth in § 1.17(p); or \_\_\_\_\_ 37 C.F.R. § 1.97 (d), after a Final Office Action or Notice of Allowance, whichever occurs first, but on or before payment of the issue fee, and is accompanied by both 1) a statement in accordance with 37 C.F.R. § 1.97(e), and 2) the fee set forth in § 1.17(p).

While no representation is made that any of these references may be "prior art" within the meaning of that term in accordance with 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the references listed, together with any other references which may have been previously submitted or listed, are the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each listed reference (or relevant portion thereof) which was not previously submitted to, or cited by, the Patent Office is also enclosed.

For all listed references that are not either in the English language, or accompanied by a translation into English, a concise explanation of relevance as required under 37 C.F.R. § 1.98(a)(3) is enclosed attached to each.



Assistant Commissioner of Patents

Page 3

Please charge any additional fees or credit any overpayment to Deposit Account No. 20-

0100.

DATED this 18<sup>th</sup> day of January 2002.

Respectfully submitted,

Steve M. Perry  
Attorney for Applicant  
Registration No. 45,357

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PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. T7029.CIP.PCT.US		SERIAL NO. 09/787,972	
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				FILING DATE March 23, 2001		GROUP. JUL 0 1 2002	
U.S. PATENT DOCUMENTS							
EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	1,616,639	2/8/27	Sprague			
	AB	1,764,008	6/17/30	Crozier			
	AC	1,799,053	3/31/31	Mache			
	AD	1,809,754	6/9/31	Steedle			
	AE	1,951,669	3/20/34	Ramsey			
	AF	1,983,377	12/4/34	Kellogg			
	AG	2,461,344	2/8/49	Olson			
	AH	2,855,467	10/7/58	Curry			
	AI	2,872,532	2/3/59	Buchmann et al			
	AJ	2,935,575	5/3/60	Bobb			
	AK	2,975,243	3/14/61	Katella			
	AL	2,975,307	3/14/61	Schroeder et al			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AM	H2-265400	10/30/90	Japan			X
	AN	WO 01/08449	2/1/01	EP			
	AO	WO 01/52437	7/19/01	PCT			
	AP						
	AQ						
OTHER PRIOR ART (Including Author, Title, Pertinent Pages, Etc.)							
	AR	ULTRASONIC RANGING SYSTEM by Polaroid Corporation					
	AS	EXCERPTS FROM ON COMBINATION TONES by Helmholtz, Editor's Comments on Paper 16, pages 228-238					
	AT	PARAMETRIC LOUDSPEAKER - CHARACTERISTICS OF ACOUSTIC FIELD AND SUITABLE MODULATION OF CARRIER ULTRASOUND, Aoki, Kenichi, Kamakura, Tomoo and Kumamoto, Yoshiro, Electronics and Communications in Japan, Part 3, Vol. 74, No. 9, pp. 76-82 (1991)					
EXAMINER					DATE CONSIDERED		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. T7029.CIP.PCT.US	SERIAL NO. 09/787,972
<b>LIST OF PRIOR ART CITED BY APPLICANT</b>		<div style="text-align: right; font-weight: bold; font-size: 1.2em;">RECEIVED</div> <div style="text-align: right; font-weight: bold;">JUL 01 2002</div>	
		APPLICANT Selfridge et al  FILING DATE March 23, 2001	GROUP <b>Technology Center 2600</b>

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	3,008,013	11/7/61	Williamson et al		
	AB	3,012,222	12/5/61	Hagemann		
	AC	3,136,867	6/9/64	Brettell		
	AD	3,345,469	10/3/67	Rod		
	AE	3,373,251	3/12/68	Seeler		
	AF	3,389,226	6/18/68	Peabody		
	AG	3,398,810	8/27/68	Clark III		
	AH	3,461,421	8/12/69	Stover		
	AI	3,544,733	12/1/70	Reylek		
	AJ	3,612,211	10/12/71	Clark III		
	AK	3,613,069	10/12/71	Cary, Jr.		
	AL	3,654,403	4/4/72	Bobb, deceased		

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
AM					
AN					
AO					
AP					
AQ					

**OTHER PRIOR ART (Including Author, Title, Pertinent Pages, Etc.)**

AR	PARAMETRIC ACOUSTIC NONDIRECTIONAL RADIATOR, Makarov, et al, Acustica, Vol. 77, pp. 240-242 (1992)
AS	THE AUDIO SPOTLIGHT: AN APPLICATION OF NONLINEAR INTERACTION OF SOUND WAVES TO A NEW TYPE OF LOUDSPEAKER DESIGN, Yoneyama, et al, J. Acoustical Society of America 73(5), May 1983, pages 1532-1536
AT	THE AIR-DAMPED VIBRATING SYSTEM: THEORETICAL CALIBRATION OF THE CONDENSER TRANSMITTER, Crandall, I.B., American Physical Society, Dec. 28, 1917, pages 449-460

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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U.S. PATENT DOCUMENTS							
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	AA	3,674,946	7/4/72	Winey			
	AB	3,710,332	1/9/73	Tischner et al			
	AC	3,723,957	3/27/73	Damon			
	AD	3,742,433	6/26/73	Kay et al			
	AE	3,787,642	1/22/74	Young Jr.			
	AF	3,821,490	6/28/74	Bobb			
	AG	3,829,623	8/13/74	Willis et al			
	AH	3,833,771	9/3/74	Collinson			
	AI	3,836,951	9/17/74	Geren et al			
	AJ	3,892,927	7/1/75	Lindenberg			
	AK	3,919,499	11/11/75	Winey			
	AL	3,941,946	3/2/76	Kawakami et al			
FOREIGN PATENT DOCUMENTS							
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OTHER PRIOR ART (Including Author, Title, Pertinent Pages, Etc.)							
	AR	PARAMETRIC ACOUSTIC ARRAY, Peter J. W., The Journal of the Acoustical Society of America, Volume 35, Number 1, April 1963, pages 535-537					
	AS	POSSIBLE EXPLOITATION OF NON-LINEAR ACOUSTICS IN UNDERWATER TRANSMITTING APPLICATIONS, Berkay, H.O., Department of Electronic and Electrical Engineering University of Birmingham, Edgbaston, Birmingham 15, England (Received April 13, 1965)					
	AT	ELECTROSTATIC LOUDSPEAKER DESIGN AND CONSTRUCTION, Chapters 4 and 5, pages 59-91, Wagner, Ronald, Audio Amateur Press Publishers, 1993					
EXAMINER				DATE CONSIDERED			
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				FILING DATE March 23, 2001		GROUP	

U.S. PATENT DOCUMENTS							
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	AA	3,997,739	12/14/76	Kishikawa et al			
	AB	4,056,742	11/1/77	Tibbetts			
	AC	4,064,375	12/20/77	Russell et al			
	AD	4,160,882	7/10/79	Driver			
	AE	4,207,571	6/10/80	Passey			
	AF	4,210,786	7/1/80	Winey			
	AG	4,242,541	12/30/80	Ando			
	AH	4,245,136	1/13/81	Krauel, Jr.			
	AI	4,284,921	8/18/81	Lemonon et al			
	AJ	4,289,936	9/15/81	Civitello			
	AK	4,295,214	10/13/81	Thompson			
	AL	4,322,877	4/6/82	Taylor			

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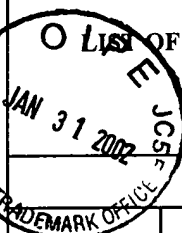
OTHER PRIOR ART (Including Author, Title, Pertinent Pages, Etc.)			
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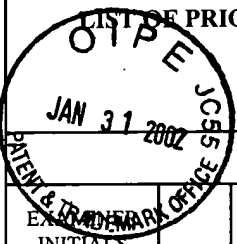
  

EXAMINER	DATE CONSIDERED
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				APPLICANT Selfridge et al			
				FILING DATE March 23, 2001		GROUP <b>RECEIVED</b> JUL 01 2002	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIALS	AA	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,378,596	3/29/83	Clark			
	AB	4,385,210	5/24/83	Marquiss			
	AC	4,418,404	11/29/83	Gordon et al			
	AD	4,419,545	12/6/83	Kuindersma			
	AE	4,429,193	1/31/84	Busch-Vishniac et al			
	AF	4,434,327	2/28/84	Busch-Vishniac et al			
	AG	4,439,642	3/27/84	Reynard			
	AH	4,471,172	9/11/84	Winey			
	AI	4,480,155	10/30/84	Winey			
	AJ	4,550,228	10/29/85	Walker et al			
	AK	4,558,184	12/10/85	Busch-Vishniac et al			
	AL	4,593,160	6/3/86	Nakamura			
<b>FOREIGN PATENT DOCUMENTS</b>							
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<div style="position: relative; height: 100px;"> <div style="position: absolute; top: 0; left: 0; width: 100%; text-align: center;">LIST OF PRIOR ART CITED BY APPLICANT</div> <div style="position: absolute; bottom: 0; left: 0; width: 100%; text-align: center;">  </div> </div>				APPLICANT Selfridge et al		<b>RECEIVED</b> <b>JUL 01 2002</b>	
				FILING DATE March 23, 2001		GROUP <b>Technology Center 2600</b>	

U.S. PATENT DOCUMENTS							
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	AA	4,593,567	6/10/86	Isselstein et al			
	AB	4,672,591	6/9/87	Breimesser et al			
	AC	4,695,986	9/22/87	Hossack			
	AD	4,751,419	6/14/88	Takahata			
	AE	4,803,733	2/7/89	Carver et al			
	AF	4,823,908	4/25/89	Tanaka et al			
	AG	4,837,838	6/6/89	Thigpen et al			
	AH	4,885,781	12/5/89	Seidel			
	AI	4,887,246	12/12/89	Hossack et al			
	AJ	4,888,086	12/19/89	Hossack et al			
	AK	4,903,703	2/27/90	Igarashi et al			
	AL	4,908,805	3/13/90	Sprenkels et al			

FOREIGN PATENT DOCUMENTS							
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<div style="position: relative; height: 100px;"> <div style="position: absolute; top: 0; left: 0; width: 100%; height: 100%; border: 1px solid black; border-radius: 50%; text-align: center; font-size: 10px;"> O I S T E N JAN 31 2002 PATENT &amp; TRADEMARK OFFICE </div> </div>				APPLICANT Selfridge et al			
				FILING DATE March 23, 2001		GROUP	

U.S. PATENT DOCUMENTS							
EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
AA	5,638,456	6/10/97	Conley et al				
AB	5,700,359	12/23/97	Bauer				
AC	5,859,915	1/12/99	Norris				
AD	5,885,129	3/23/99	Norris				
AE	5,889,870	3/30/99	Norris				
AF	6,011,855	1/4/00	Selfridge et al				
AG	6,108,427	8/22/00	Norris et al				
AH	6,151,398	11/21/00	Norris				
AI	6,188,772	2/13/01	Norris et al				
AJ	6,229,899	5/8/01	Norris et al				
AK	6,304,662	10/16/01	Norris et al				
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FOREIGN PATENT DOCUMENTS							
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION		
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